

<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5226-01500  APPLICANT: Shayne Young  FILING DATE: May 25, 2001	SERIAL NO. 09/866,500  GROUP: 2164
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## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

E1	International Search Report, PCT/US02/18063, mailed May 8, 2003
E2	International Search Report, PCT/US02/18224, mailed May 15, 2003
E3	International Search Report, PCT/US02/18978, mailed May 21, 2003
E4	International Search Report, PCT/US02/26471, mailed December 11, 2003
E5	International Search Report, PCT/US02/31239, mailed April 3, 2003
E6	International Search Report, PCT/US02/34357, mailed January 7, 2003

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**GROUP 3600**

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**DATE CONSIDERED:**

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**Form PTO-1449** (modified)

List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01500

SERIAL NO: 09/866,500

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APPLICANT: Shayne Young

Technology Center 2100

FILING DATE: May 25, 2001

GROUP: 2164

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>DM</i>	B1	4,674,044	6/1987	Kalmus, et al.	—	—	
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keise,r et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
	C3	5,987,432	11/1999	Zusman, et al.			

**FOREIGN PATENT DOCUMENTS**

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**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

<i>DM</i>	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.
	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.
	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.
	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock

EXAMINER:

*Pat M. Dal*

DATE CONSIDERED:

*5/14/04*

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<i>AM</i>	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
	C12	5,003,473	3/1991	Richards			

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**FOREIGN PATENT DOCUMENTS**

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**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

<i>AM</i>	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
<i>AM</i>	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

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*Submittal*

DATE CONSIDERED:

*5/14/06*

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>MS</i>	C15	4,750,135	6/1988	Boilen			
	C16	4,745,559	5/1988	Willis, et al.			
<i>MS</i>	C17	6,278,982	8/2001	Korhammer, et al.			

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**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**


EXAMINER:

*Patent Attorney*

DATE CONSIDERED:

*5/14/06*

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## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES																																																																																																																																
<p>Application Number: 09/866500</p> <p>Confirmation Number: 4454</p> <p>First Named Applicant: Shayne Young</p> <p>Attorney Docket Number: 5226-01500</p> <p>Art Unit: 2164</p> <p>Search string: ( 6477580 or 6421653 or 6446871 or 6247000 or 6272474 or 6173270 or 6321212 or 4566066 or 6505174 or 6195647 or 5101353 or 4942616 or 5915209 or 5999918 or 6112189 ).pn.</p> <p><b>US Patent Documents</b></p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>Init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>6477580</td><td>2002-11-05</td><td>Bowman-Amuah</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>2</td><td>6421653</td><td>2002-07-16</td><td>May</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>3</td><td>6446871</td><td>2002-09-10</td><td>Buckley et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>4</td><td>6247000</td><td>2001-06-12</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>5</td><td>6272474</td><td>2001-08-07</td><td>Garcia</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>6</td><td>6173270</td><td>2001-01-09</td><td>Cristofich et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>7</td><td>6321212</td><td>2001-11-20</td><td>Lange</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>8</td><td>4566066</td><td>1986-01-21</td><td>Towers</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>9</td><td>6505174</td><td>2003-01-07</td><td>Keiser et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>10</td><td>6195647</td><td>2001-02-27</td><td>Martyn et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>11</td><td>5101353</td><td>1992-03-31</td><td>Lupien et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>12</td><td>4942616</td><td>1990-07-17</td><td>Linstroth et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>13</td><td>5915209</td><td>1999-06-22</td><td>Lawrence</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>14</td><td>5999918</td><td>1999-12-07</td><td>Williams et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>15</td><td>6112189</td><td>2000-08-29</td><td>Rickard et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature <i>Shayne Young</i> 5/14/06</p> <p><b>RECEIVED</b> MAY 30 2003 <b>GROUP 3600</b></p>		Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	6477580	2002-11-05	Bowman-Amuah				<input checked="" type="checkbox"/>	2	6421653	2002-07-16	May				<input checked="" type="checkbox"/>	3	6446871	2002-09-10	Buckley et al.				<input checked="" type="checkbox"/>	4	6247000	2001-06-12	Hawkins et al.				<input checked="" type="checkbox"/>	5	6272474	2001-08-07	Garcia				<input checked="" type="checkbox"/>	6	6173270	2001-01-09	Cristofich et al.				<input checked="" type="checkbox"/>	7	6321212	2001-11-20	Lange				<input checked="" type="checkbox"/>	8	4566066	1986-01-21	Towers				<input checked="" type="checkbox"/>	9	6505174	2003-01-07	Keiser et al.				<input checked="" type="checkbox"/>	10	6195647	2001-02-27	Martyn et al.				<input checked="" type="checkbox"/>	11	5101353	1992-03-31	Lupien et al.				<input checked="" type="checkbox"/>	12	4942616	1990-07-17	Linstroth et al.				<input checked="" type="checkbox"/>	13	5915209	1999-06-22	Lawrence				<input checked="" type="checkbox"/>	14	5999918	1999-12-07	Williams et al.				<input checked="" type="checkbox"/>	15	6112189	2000-08-29	Rickard et al.			
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**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>SP</i>	D1	6,317,728 B1	11/13/01	Kane	—	—	
	D2	5,819,238	10/06/98	Fernholz	—	—	
	D3	5,640,505	06/17/97	Hearn et al.	—	—	

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

EXAMINER:

*Sam M. Du*

DATE CONSIDERED:

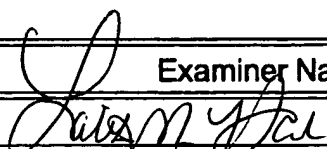
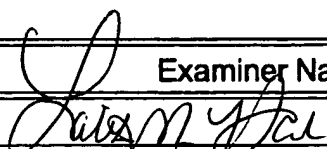
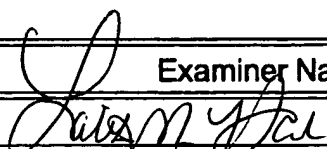
*5/14/06*

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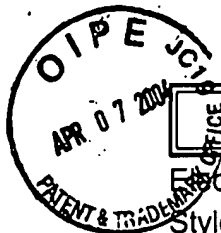


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Electronic Version v18  
Stylesheet Version v18.0

<b>Title of Invention</b>	<b>METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES</b>																																																														
<p>Application Number: 09/866500 Confirmation Number: 4454 First Named Applicant: Shayne Young Attorney Docket Number: 5226-01500 Art Unit: 2164 Search string: ( 5193056 or 4752877 or 6415267 or 6029146 or 5297031 or 6035287 ).pn.</p> <p><b>US Patent Documents</b></p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>5193056</td><td>1993-03-09</td><td>Boes</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>2</td><td>4752877</td><td>1988-06-21</td><td>Roberts et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>3</td><td>6415267</td><td>2002-07-02</td><td>Hagan</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>4</td><td>6029146</td><td>2000-02-22</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>5</td><td>5297031</td><td>1994-03-22</td><td>Guterman et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>6</td><td>6035287</td><td>2000-03-07</td><td>Stallaert et al.</td><td></td><td></td><td></td></tr></tbody></table> <p><b>Signature</b></p> <table border="1"><tr><td></td><td><b>Examiner Name</b></td><td><b>Date</b></td></tr><tr><td></td><td></td><td>5/14/06</td></tr></table>		init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	5193056	1993-03-09	Boes				<input checked="" type="checkbox"/>	2	4752877	1988-06-21	Roberts et al.				<input checked="" type="checkbox"/>	3	6415267	2002-07-02	Hagan				<input checked="" type="checkbox"/>	4	6029146	2000-02-22	Hawkins et al.				<input checked="" type="checkbox"/>	5	5297031	1994-03-22	Guterman et al.				<input checked="" type="checkbox"/>	6	6035287	2000-03-07	Stallaert et al.					<b>Examiner Name</b>	<b>Date</b>			5/14/06
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Title of  
Invention

METHODS AND SYSTEMS FOR MANAGING A  
PORTFOLIO OF SECURITIES

Application Number: 09/866500  
Confirmation Number: 4454  
First Named Applicant: Shayne Young  
Attorney Docket Number: 5226-01500  
Art Unit: 2164  
Examiner: Unknown Unknown  
Search string: ( 5809483 or 5946666 or 6401105 or 6408282  
or 6510419 or 20020188548 or 20020194111 or  
20020194110 or 20030065598 or 20030083974  
or 20030041006 ).pn.



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## US Patent Documents

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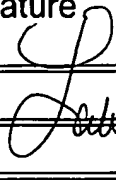
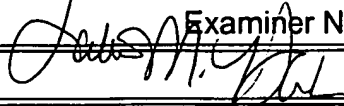
## US Published Applications

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*Lawrence Dal 5/14/04*



	6	20030041006	2003-02-27	Bunda	A1
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			Date		
Examiner Name			Date		
			5/14/06		